Modernization and Migration Management (M3) Playbook

GSA, Unified Shared Services Management

Introduction

How to Read an Activity Description

Objective:

Provides the overall objective of the activity

Activities:

Describes the step-by-step activities that the program team should conduct in order to achieve the intended objective

Inputs:

Lists inputs that will be needed to conduct the activities

Outputs:

Lists the required outputs at the end of the activities

Phase:

Indicates the phase in which the activity occurs

Responsible Party:

Indicates the party/parties responsible for the activity

Workstreams:

Indicates the workstream in which the activity occurs: PMO (dark green), Change Management (light blue), Technology (light green), or Process & Service Delivery (dark blue)

Stakeholders

Describes who is typically involved in the activities

Lessons Learned:

Provides lessons learned from previous migrations for consideration as activities are conducted

Sample Template of Activity Description

Objective:

Responsible Party: (C) Customer   (P) Provider   (S) Shared

| Activities |
| Inputs |
| Outputs |
| Lessons Learned |
| Stakeholders |

Frequently Used Terms

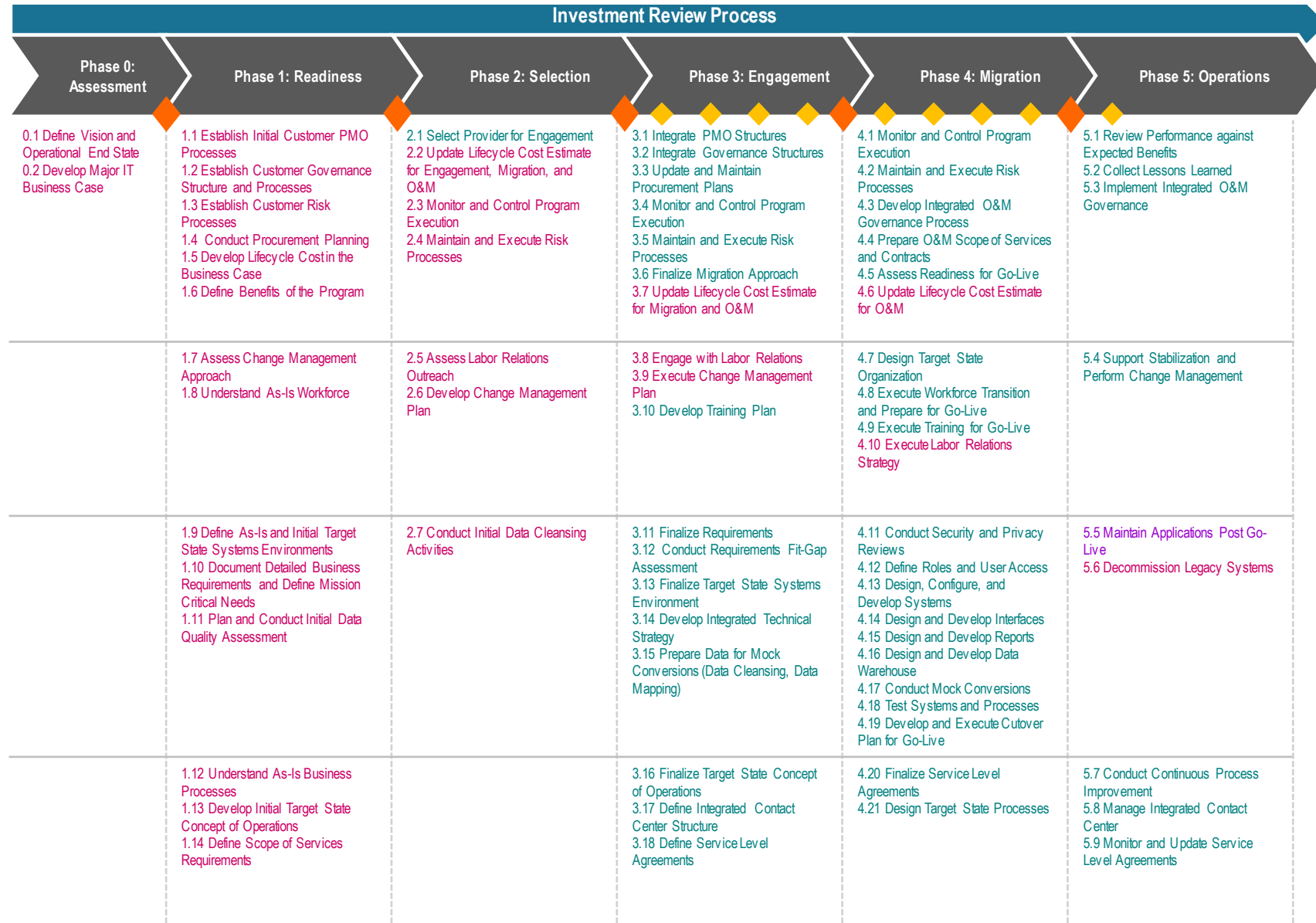|	
Input	A document (usually created in a prior activity) or an event required by that process before a process proceeds
Output	A document or event that is produced by an activity to facilitate robust planning and migration activities
Exit Outcome	An outcome that should be achieved by the time a phase is complete
Guidance Items	A supporting tool for agencies to evaluate their plans and program artifacts against leading practices; guidance items can be used to guide the content of organization-specific documentation when not using a template
Template	A document that contains required fields and details for an output
Tollgate Review Discussions	A summary presentation that must be submitted at the end of a phase tollgate with key components to inform risk review and budget/funding decisions for the migration

Executive Summary

Modernization and Migration Management (M3) Playbook Overview

◆ Tollgate

	0. Assessment	1. Readiness	2. Selection	3. Engagement	4. Migration	5. Operations

Investment Review Process →

	0. Assessment	1. Readiness	2. Selection	3. Engagement	4. Migration	5. Operations
Objective	Build a vision and Major Information Technology (IT) Business Case for the migration	Prepare the customer organization for the modernization effort and define requirements	Conduct due diligence to select the provider based on requirements and desired target end state	Conduct detailed planning through a Fit-Gap Assessment and finalize the migration and Operations and Maintenance (O&M) approach and costs	Configure, test, and deploy the new system, concept of operations, and workforce design	Deliver services and conduct continuous process improvement
Key Activities	• Define Vision and Operational End State • Develop Major IT Business Case	• Stand-up Program Management Office (PMO) • Define migration scope of services and program management processes • Establish customer risk processes • Assess data quality	• Assess different providers to understand which can best meet the scope of services requirements • Select provider for Engagement and fit-gap analysis • Begin preparing the organization for change • Continue cleansing data	• Conduct a Fit-Gap Assessment to understand how the requirements will be met and where tailored solutions will be required • Define Migration Approach and roadmap • Integrate PMO processes between the customer and provider	• Configure, test, and deploy the new solution and concept of operations • Migrate in-scope processes and design the transformed organization for the future state environment	• Monitor the success of the migration and move into operations • Continue training and communications • Conduct process improvement and customer care activities
Exit Outcomes	✓ Major IT Business Case Approved	✓ PMO and Governance Structure Defined ✓ Resources On Boarded ✓ Mitigation Plans in Place for Major Risks/Issues ✓ Initial Schedule Defined ✓ Lifecycle Cost Estimate Developed ✓ Change Management Strategies Defined ✓ Data Quality Assessed ✓ Procurement Strategy Defined ✓ Business Requirements Defined	✓ Provider Selected ✓ Mitigation Plans in Place for Major Risks/Issues ✓ Schedule Updated ✓ Data Cleansing Commenced ✓ Lifecycle Cost Estimate Updated for Engagement, Migration, and O&M ✓ Communications to Stakeholders Delivered	✓ Fit-Gap Assessment Completed ✓ PMO and Governance Processes Integrated ✓ Lifecycle Cost Estimate Updated for Migration and O&M ✓ Migration Approach Finalized ✓ Master Schedule Drafted ✓ SLAs for Migration and O&M defined ✓ Go/No-Go Criteria Approved	✓ Go/No-Go Criteria Met to Deploy Solution	✓ Post-migration Performance Metrics Reported ✓ Lessons Learned Developed

M3 Playbook Outline

◆ Tollgate
◆ Program Health Assessment

Investment Review Process

	Phase 0: Assessment	Phase 1: Readiness	Phase 2: Selection	Phase 3: Engagement	Phase 4: Migration	Phase 5: Operations
Program Management	0.1 Define Vision and Operational End State 0.2 Develop Major IT Business Case	1.1 Establish Initial Customer PMO Processes 1.2 Establish Customer Governance Structure and Processes 1.3 Establish Customer Risk Processes 1.4 Conduct Procurement Planning 1.5 Develop Lifecycle Cost in the Business Case 1.6 Define Benefits of the Program	2.1 Select Provider for Engagement 2.2 Update Lifecycle Cost Estimate for Engagement, Migration, and O&M 2.3 Monitor and Control Program Execution 2.4 Maintain and Execute Risk Processes	3.1 Integrate PMO Structures 3.2 Integrate Governance Structures 3.3 Update and Maintain Procurement Plans 3.4 Monitor and Control Program Execution 3.5 Maintain and Execute Risk Processes 3.6 Finalize Migration Approach 3.7 Update Lifecycle Cost Estimate for Migration and O&M	4.1 Monitor and Control Program Execution 4.2 Maintain and Execute Risk Processes 4.3 Develop Integrated O&M Governance Process 4.4 Prepare O&M Scope of Services and Contracts 4.5 Assess Readiness for Go-Live 4.6 Update Lifecycle Cost Estimate for O&M	5.1 Review Performance against Expected Benefits 5.2 Collect Lessons Learned 5.3 Implement Integrated O&M Governance
Workforce, Organization, & Stakeholders		1.7 Assess Change Management Approach 1.8 Understand As-Is Workforce	2.5 Assess Labor Relations Outreach 2.6 Develop Change Management Plan	3.8 Engage with Labor Relations 3.9 Execute Change Management Plan 3.10 Develop Training Plan	4.7 Design Target State Organization 4.8 Execute Workforce Transition and Prepare for Go-Live 4.9 Execute Training for Go-Live 4.10 Execute Labor Relations Strategy	5.4 Support Stabilization and Perform Change Management
Technology		1.9 Define As-Is and Initial Target State Systems Environments 1.10 Document Detailed Business Requirements and Define Mission Critical Needs 1.11 Plan and Conduct Initial Data Quality Assessment	2.7 Conduct Initial Data Cleansing Activities	3.11 Finalize Requirements 3.12 Conduct Requirements Fit-Gap Assessment 3.13 Finalize Target State Systems Environment 3.14 Develop Integrated Technical Strategy 3.15 Prepare Data for Mock Conversions (Data Cleansing, Data Mapping)	4.11 Conduct Security and Privacy Reviews 4.12 Define Roles and User Access 4.13 Design, Configure, and Develop Systems 4.14 Design and Develop Interfaces 4.15 Design and Develop Reports 4.16 Design and Develop Data Warehouse 4.17 Conduct Mock Conversions 4.18 Test Systems and Processes 4.19 Develop and Execute Cutover Plan for Go-Live	5.5 Maintain Applications Post Go-Live 5.6 Decommission Legacy Systems
Process & Service Delivery		1.12 Understand As-Is Business Processes 1.13 Develop Initial Target State Concept of Operations 1.14 Define Scope of Services Requirements		3.16 Finalize Target State Concept of Operations 3.17 Define Integrated Contact Center Structure 3.18 Define Service Level Agreements	4.20 Finalize Service Level Agreements 4.21 Design Target State Processes	5.7 Conduct Continuous Process Improvement 5.8 Manage Integrated Contact Center 5.9 Monitor and Update Service Level Agreements

Updated date: 07/20/2016   Version 10.0

Phase 0: Assessment

Phase 0 Summary and Documentation

Phase Objective | Fulfill requirement to submit capital planning investments though Capital Planning and Investment Control (CPIC) process with required additional information

Responsible Party: ■ Customer ■ Provider ■ Shared

	Program Management	Workforce, Organization, & Stakeholders	Technology	Process & Service Delivery

Phase 0: Assessment

0.1 Define Vision and Operational End State
0.2 Develop Major IT Business Case

Phase Documentation | The following documentation is developed during Phase 0, follows Federal CPIC requirements, and is used to inform a review

Phase 0 Documentation

- **Vision and Operational End State**
- **Major IT Business Case**

Navigate to the updated CPIC guidance by clicking here and here.

Examples of CPIC requirements that USSM may review during Phase 0 are:
- Unique Identifier for Each Investment
- Purpose, Goals, and Current or Anticipated Benefits (Quantitative and/or Qualitative)
- Preliminary Costs/Savings Table (Implementation Costs; Annual Operations Cost; Operations Savings; IT Savings; Other Cost Avoidance; Value; Return on Investment (ROI); Aggregate Customer Savings)
- Breakeven Year
- Barriers to Implementation
- Mitigation Plans
- Plan for Legacy System Retirement
- Acquisition/Contract Strategy
- Program Plan

Information Contained in Tollgate Review Discussion

1. Alternatives Analysis
2. Operational End State Vision

Exit Criteria (to move into Phase 1)

✓ Purpose, Goals, and Current or Anticipated Benefits
✓ Preliminary Cost/Savings Table
✓ Barriers to Implementation
✓ Mitigation Plan
✓ Program Plan

Updated date: 07/20/2016   Version 10.0

Abbreviations

Abbreviation	Definition
ATO	Authority to Operate
BI	Business Intelligence
CBA	Collective Bargaining Agreement
CooP	Continuity of Operations
CPIC	Capital Planning and Investment Control
CRP	Conference Room Pilot
ERP	Enterprise Resource Planning
FAQ	Frequently Asked Questions
GSA	General Services Administration
HR	Human Resources
IAA	Interagency Agreement
ID	Identification
IMS	Integrated Master Schedule
ICAM	Identity, Credentials, and Access Management Framework
IT	Information Technology
ITIL	Information Technology Information Library
ISSO	Information Systems Security Officer
IV&V	Independent Verification and Validation
LCCE	Lifecycle Cost Estimate
O&M	Operations and Maintenance
OMB	Office of Management and Budget
PIV	Personal Identification Verification

Abbreviation	Definition
PMO	Program Management Office
PWS	Performance Work Statement
QASP	Quality Assurance Surveillance Plan
RAID	Risks, Actions Items, Issues, and Decisions
RACI	Responsible, Accountable, Consulted, Informed
RFI	Request for Information
RFP	Request for Proposal
RFQ	Request for Quote
ROI	Return on Investment
ROM	Rough Order of Magnitude
RTM	Requirements Traceability Matrix
SLA	Service Level Agreement
SME	Subject Matter Expert
SOP	Standard Operating Procedure
SORN	System of Records Notice
USSM	Unified Shared Services Management

Glossary - Stakeholders

Stakeholder	Definition
Budget or Financial Analyst	Individual who conducts budget or financial analysis
Business Owners	Responsible leader for particular business functions on customer side, e.g., CFO, CHCO
Change Management Lead	Responsible leader for change management activities for the program
Communications Lead	Responsible leader for communications activities for the program
Contracting/Procurement Officer	Individual responsible for procurement for the organization and managing contracts
Data Conversion Lead	Responsible leader for data conversion for the program
Data SMEs	Individuals with data subject matter expertise
Development Team	Group of individuals responsible for developing the technical solution
Executive Sponsor	Executive who sponsors the program
Functional Lead	Responsible leader for the functional aspect of solution implementation
Functional SMEs	Individuals with functional subject matter expertise
Interface Lead	Responsible leader for managing interfaces during the solution implementation
Information Systems Security Officer (ISSO)	Individual who is responsible for information systems security
Labor Relations Leader(s)	Responsible leader(s) for labor relations with the Union(s)

Stakeholder	Definition
Line of Business - Managing Partner/Line of Business Sponsor	Expert from a particular Line of Business who represents that Line of Business
Network SME	Individual with network subject matter expertise
O&M Team	Group of individuals who run O&M for customer and provider
Program Manager	Individual who manages the overall program and integration of activities
Requirements Lead	Responsible leader for the process of defining and managing requirements
Risk Lead	Responsible leader for risk management processes
Risk Manager	Individual who manages risk management processes
Security Lead	Responsible leader for security management
Security SME	Individual with security subject matter expertise
Technical Lead/Solution Architect	Responsible leader for the technical aspects of solution implementation
Technical SMEs	Individuals with technical subject matter expertise
Test Lead	Responsible leader for testing
Test Team	Group of individuals who run testing
Training Lead	Responsible leader for running training
Workforce Lead	Responsible leader for workforce planning

Glossary

Term	Definition
Input	An artifact (usually created in a prior activity) or an event recommended to support completion of activities
Output	An artifact or event that is produced by an activity to facilitate robust planning and migration activities in comprehensive program artifacts
Exit Outcome	An outcome that should be achieved by the time a phase is complete but is not necessarily a tollgate
Guidance Item	A supporting tool for agencies to evaluate their plans and program artifacts against leading practices; guidance items can be used to shape the content of agency specific documentation when not using a template
Tollgate	A checkpoint to assess risk and inform budget/funding decisions for the migration
Tollgate Review Discussion	A summary review that must be submitted at the end of a tollgate with key components to inform risk review and budget/funding decisions for the migration